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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 1 of 3

Complete if Known	
Application Number	09/866557
Filing Date	May 24, 2001
First Named Inventor	Scott Hammond
Art Unit	1637
Examiner Name	Wilder, C. B.
Attorney Docket Number	CSHL-P02-010

CA U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No.[1]	Document Number Number-Kind Code[2] (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
CW	AA	2005/0164210	07-28-2005	Mittal et al.	

CB FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No.[1]	Foreign Patent Document Country Code[3]-Number[4]-Kind Code[5] (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T[6]
CW	BA	WO 04/029219	04-08-2004	Fridman et al.		
CW	BB	WO 00/44914	08-03-2000	Li et al.		
CW	BC	WO 01/29058	04-26-2001	Mello et al.		

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NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T[2]
CW	CA	Ambros V, Dicing Up RNAs, Science 293: 811-813 (2001).	
	CB	Bernstein E, et al., The rest is silence, RNA 7(11):1509-21 (2001).	
	CC	Bernstein E, et al., Role for a bidentate ribonuclease in the initiation step of RNA interference, Nature 409(6818):363-6 (2001).	
	CD	Bernstein E, et al., Dicer is essential for mouse development, Nat Genet. 35(3):215-7 (2003); Epub 2003 Oct 5.	
	CE	Carmell MA, et al., The Argonaute family: tentacles that reach into RNAi, developmental control, stem cell maintenance, and tumorigenesis, Genes Dev. 16(21):2733-42 (2002).	
	CF	Carmell MA, et al., Germline transmission of RNAi in mice, Nat Struct Biol. 10(2):91-2 (2003).	
	CG	Carmell MA, et al., RNase III enzymes and the initiation of gene silencing, Nat Struct Mol Biol. 11(3):214-8 (2004).	
	CH	Caudy AA, et al., Fragile X-related protein and VIG associate with the RNA interference machinery, Genes Dev. 16(19):2491-6 (2002).	
	CI	Caudy AA, et al., A micrococcal nuclease homologue in RNAi effector complexes, Nature 425(6956):411-4 (2003).	
	CJ	Caudy AA, et al., Induction and biochemical purification of RNA-induced silencing complex from Drosophila S2 cells, Methods Mol Biol. 265:59-72 (2004).	
	CK	Cleary MA, et al., Production of complex nucleic acid libraries using highly parallel in situ oligonucleotide synthesis, Nat Methods. 1(3):241-8 (2004); Epub 2004 Nov 18.	
	CL	Crooke, ST, Basic Principles of Antisense Therapeutics. Antisense Research and Application (1998), Chapter 1, Springer-Verlag, New York.	
	CM	Denli AM, et al., RNAi: an ever-growing puzzle, Trends Biochem Sci. 28(4):196-201 (2003).	
	CN	Denli AM, et al., Processing of primary microRNAs by the Microprocessor complex, Nature. 432(7014):231-5 (2004); Epub 2004 Nov 7.	
	CO	Fraser A., Human Genes Hit the Big Screen, Nature 428: 375-378 (2004).	
	CP	Gupta S, et al., Inducible, reversible, and stable RNA interference in mammalian cells, Proc	

Examiner Signature	Cynthia Wilder	Date Considered	10/26/2005

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Sheet 2 of 3

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First Named Inventor	Scott Hammond
Art Unit	1637
Examiner Name	Wilder, C. B.
Attorney Docket Number	CSHL-P02-010

CW		Natl Acad Sci USA 101(7):1927-32 (2004); Epub 2004 Feb 4.	
	CQ	Hammond SM, et al., Post-transcriptional gene silencing by double-stranded RNA, Nat Rev Genet. 2(2):110-9 (2001).	
	CR	Hannon GJ, RNA interference, Nature 418(6894):244-51 (2002).	
	CS	Hannon GJ, et al., RNA interference by short hairpin RNAs expressed in vertebrate cells, Methods Mol Biol. 257:255-66 (2004).	
	CT	Hannon GJ, et al., Unlocking the potential of the human genome with RNA interference, Nature. 431(7006):371-8 (2004).	
	CU	He L, et al., MicroRNAs: small RNAs with a big role in gene regulation, Nat Rev Genet. 5(7):522-31 (2004).	
	CV	He L, et al., A microRNA polycistron as a potential human oncogene, Nature 435(7043):828-33 (2005).	
	CW	Hemann MT, et al., An epi-allelic series of p53 hypomorphs created by stable RNAi produces distinct tumor phenotypes in vivo, Nat Genet. 33(3):396-400 (2003); Epub 2003 Feb 3.	
	CX	Jackson, AL, et al., Expression profiling reveals off-target gene regulation by RNAi, Nature Biotechnology 21(6), 635-638 (June 2003).	
	CY	Ketting, RF, et al., Dicer functions in RNA interference and in synthesis of small RNA involved in developmental timing in C. *elegans*, Genes Dev 15, 2654-2659. (Oct 15, 2001).	
	CZ	Lee, YS, et al., Distinct Roles for Drosophila Dicer-1 and Dicer-2 in the siRNA/miRNA Silencing Pathways, Cell 117, 69-81 (Apr 2, 2004).	
	CA1	Liu J, et al., Argonaute2 is the catalytic engine of mammalian RNAi, Science 305(5689):1437-41 (2004); Epub 2004 Jul 29.	
	CB1	Liu J, et al., MicroRNA-dependent localization of targeted mRNAs to mammalian P-bodies, Nat Cell Biol. 7(7):719-23 (2005); Epub 2005 Jun 5.	
	CC1	Lund E, et al., Nuclear Export of MicroRNA Precursors, Science 303, 95-98 (Jan 2, 2004).	
	CD1	McCaffrey AP, et al., RNA interference in adult mice, Nature 418(6893):38-9 (2002).	
	CE1	Murchison EP, et al., miRNAs on the move: miRNA biogenesis and the RNAi machinery, Curr Opin Cell Biol. 16(3):223-9 (2004).	
	CF1	Novina, CD et al., The RNAi Revolution, Nature 430: 161-164 (2004).	
	CG1	Paddison PJ, et al., RNA interference: the new somatic cell genetics?, Cancer Cell. 2(1):17-23 (2002).	
	CH1	Paddison PJ, et al., siRNAs and shRNAs: skeleton keys to the human genome, Curr Opin Mol Ther. 5(3):217-24 (2003).	
	CI1	Paddison PJ, et al., Short hairpin activated gene silencing in mammalian cells, Methods Mol Biol. 265:85-100 (2004).	
	CJ1	Paddison PJ, et al., A resource for large-scale RNA-interference-based screens in mammals, Nature 428(6981):427-31 (2004).	
	CK1	Paddison PJ, et al., Stable suppression of gene expression by RNAi in mammalian cells, 99(3):1443-1448 (2002).	
	CL1	Paddison PJ, et al., Short hairpin RNAs (shRNAs) induce sequence-specific silencing in mammalian cells, Genes & Development 16:948-958 (2002).	
	CM1	Paroo, Z, et al., Challenges for RNAi in vivo, TRENDS in Biotechnology 22: 390-394 (2004).	
	CN1	Pham JW, et al., A Dicer-2-Dependent 80S Complex Cleaves Targeted mRNAs during RNAi in Drosophila, Cell 117, 83-94 (Apr 2, 2004).	
	CO1	Qi Y, et al., Biochemical Specialization within Arabidopsis RNA Silencing Pathways, Mol Cell. 19(3):421-8 (2005).	
	CP1	Rivas FV, et al., Purified Argonaute2 and an siRNA form recombinant human RISC, Nat Struct Mol Biol. 12(4):340-9 (2005); Epub 2005 Mar 30.	
	CQ1	Schramke V, et al., RNA-interference-directed chromatin modification coupled to RNA polymerase II transcription, Nature 435(7046):1275-9 (2005); Epub 2005 Jun 19.	
	CR1	Silva JM, et al., RNA interference: a promising approach to antiviral therapy?, Trends Mol	

Examiner Signature	Cynthia Wilder	Date Considered	10/26/2005

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Sheet 3 of 3

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Filing Date	May 24, 2001
First Named Inventor	Scott Hammond
Art Unit	1637
Examiner Name	Wilder, C. B.
Attorney Docket Number	CSHL-P02-010

		Med. 8(11):505-8 (2002).	
	CS1	Silva JM, et al., Free energy lights the path toward more effective RNAi, Nat Genet. 35(4):303-5 (2003).	
	CT1	Silva J, et al., RNA-interference-based functional genomics in mammalian cells: reverse genetics coming of age, Oncogene. 23(51):8401-9 (2004).	
	CU1	Silva JM, et al., RNA interference microarrays: high-throughput loss-of-function genetics in mammalian cells, Proc Natl Acad Sci USA. 101(17):6548-52 (2004); Epub 2004 Apr 14.	
	CV1	Silva JM, et al., Second-generation shRNA libraries to the mouse and human genomes, unpublished manuscript	
	CW1	Siolas D, et al., Synthetic shRNAs as potent RNAi triggers, Nat Biotechnol. 23(2):227-31 (2005); Epub 2004 Dec 26.	
	CX1	Song JJ, et al., The crystal structure of the Argonaute2 PAZ domain reveals an RNA binding motif in RNAi effector complexes, Nat Struct Biol. 10(12):1026-32 (2003); Epub 2003 Nov 16.	
	CY1	Song JJ, et al., Crystal structure of Argonaute and its implications for RISC slicer activity, Science 305(5689):1434-7 (2004); Epub 2004 Jul 29.	
	CZ1	Svoboda P, et al., RNAi and expression of retrotransposons MuERV-L and IAP in preimplantation mouse embryos; Dev Biol. 269(1):276-85 (2004).	
	CA2	Tabara H, et al., The dsRNA Binding Protein RDE-4 Interacts with RDE-1, DCR-1, and a DExH-Box Helicase to Direct RNAi in C. elegans, Cell 109, 861-871. (Jun 28, 2002).	
	CB2	Tomari Y, et al., RISC Assembly Defects in the Drosophila RNAi Mutant armitage, Cell 116, 831-841 (Mar 19, 2004).	
	CC2	Ui-Tei, K. et al., Sensitive Assay of RNA Interference in Drosophila and Chinese Hamster Cultured Cells Using Firefly Luciferase Gene as Target, FEBS Letters 479: 79-82 (2000).	
	CD2	Zhang H, et al., Human Dicer preferentially cleaves dsRNAs at their termini without a requirement for ATP, The Embo Journal, 21, 5875-5885. (Nov 1, 2002).	

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[1]Applicant's unique citation designation number (optional). [2]Applicant is to place a check mark here if English language Translation is attached.

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Form PTO/SB/08 INFORMATION DISCLOSURE CITATION IN AN APPLICATION (Use several sheets if necessary)	Docket Number (Optional) GNCA-P02-007	Application Number 09/866,557
	Applicant Beach et al.	
	Filing Date May 24, 2001	Group Art Unit 1637

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
CW	AA	6,326,193	12/4/01	Liu et al.			

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation YES	Translation NO
CW	AB	WO 01/36646	5/25/01	PCT				
CW	AC	WO 01/48183	7/5/01	PCT				
CW	AD	WO 01/75164	10/11/01	PCT				
CW	AE	WO 02/44321	6/6/02	PCT				
CW	AF	WO 02/059300	8/1/02	PCT				
CW	AG	WO 02/068635	9/6/02	PCT				

OTHER DOCUMENTS *(Including Author, Title, Date, Pertinent Pages Etc.)*

CW	AH	Bass, B.L. Double-Stranded RNA as a Template for Gene Silencing. *Cell* 101, 235-238 (2000).
CW	AI	Baulcombe, D.C. RNA as a target and an initiator of post-transcriptional gene silencing in transgenic plants. *Plant Mol. Biol.* 32, 79-88 (1996).
CW	AJ	Baulcombe, D.C. Gene silencing: RNA makes RNA makes no protein. *Curr. Biol.* 9, R599-R601 (1999).
CW	AK	Bohmert, K. et al. AGO1 defines a novel locus of Arabidopsis controlling leaf development. *EMBO J.* 17, 170-180 (1998).
CW	AL	Bosher, J.M. et al. RNA Interference Can Target Pre-mRNA: Consequences for Gene Expression in a Caenorhabditis elegans Operon. *Genetics* 153, 1245-1256 (Nov. 1999).
CW	AM	Bosher, J.M. & Labouesse, M. RNA interference: genetic wand and genetic watchdog. *Nat. Cell Biol.* 2, E31-36 (2000).
CW	AN	Catalanotto, C. et al. Gene silencing in worms and fungi. *Nature* 404, 245 (2000).
CW	AO	Cogoni, C. & Macino, G. Gene silencing in Neurospora crassa requires a protein homologous to RNA-dependent RNA polymerase. *Nature* 399, 166-169 (1999).
CW	AP	Cogoni, C. & Macino, G. Posttranscriptional Gene Silencing in Neurospora by a RecQ DNA Helicase. *Science* 286, 2342-2344 (1999).

Cynthia Wilder July 2, 2004

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AQ	Connelly, J.C. & Leach, D.R. The sbcC and sbcD genes of Escherichia coli encode a nuclease involved in palindrome inviability and genetic recombination. *Genes Cell* 1, 285-291 (1996).
AR	Dalmay, T. et al. An RNA-Dependent RNA Polymerase Gene in Arabidopsis is Required for Posttranscriptional Gene Silencing Mediated by a Transgene but Not by a Virus. *Cell* 101, 543-553 (2000).
AS	Di Nocera, P.P. & Dawid, I.B. Transient expression of genes introduced into cultured cells of Drosophila. *PNAS* 80, 7095-7098 (1983).
AT	Fagard, M. et al. AGO1, QDE-2, and RDE-1 are related proteins required for post-transcriptional gene silencing in plants, quelling in fungi, and RNA interference in animals. *PNAS* 97, 11650-11654 (10 Oct. 2000).
AU	Fire, A. RNA-triggered gene silencing. *Trends Genet.* 15, 358-363 (1999).
AV	Fire, A. et al. Potent and specific genetic interference by double-stranded RNA in Caenorhabditis elegans. *Nature* 391, 806-811 (1998).
AW	Fortier, E. & Belote, J.M. Temperature-Dependent Gene Silencing by an Expressed Inverted Repeat in Drosophila. *Genesis* 26, 240-244 (2000).
AX	Gillespie, D.E. & Berg, C.A. homeless is required for RNA localization in Drosophila oogenesis and encodes a new member of the DE-H family of RNA-dependent ATPases. *Genes Dev.* 9, 2495-2508 (1995).
AY	Guo, S. & Kemphues, K.J. par-1, a Gene Required for Establishing Polarity in C. elegans Embryos, Encodes a Putative Ser/Thr Kinase that is Asymmetrically Distributed. *Cell* 81, 611-620 (1995).
AZ	Hamilton, J.A. & Baulcombe, D.C. A Species of Small Antisense RNA in Posttranscriptional Gene Silencing in Plants. *Science* 286, 950-952 (1999).
BA	Hammond, S.M. et al. An RNA-directed nuclease mediates post-transcriptional gene silencing in Drosophila cells. *Nature* 404, 293-296 (2000).
BB	Hunter, C. Genetics: A touch of elegance with RNAi. *Curr. Biol.* 9, R440-R442 (1999).
BC	Jacobsen, S.E. et al. Disruption of an RNA helicase/RNAse III gene in Arabidopsis causes unregulated cell division in floral meristems. *Development* 126, 5231-5243 (1999).
BD	Jones, A.L. et al. De novo methylation and co-suppression induced by a cytoplamically replicating plant RNA virus. *EMBO J.* 17, 6385-6393 (1998).
BE	Jones, L. et al. RNA-DNA Interactions and DNA Methylation in Post-Transcriptional Gene Silencing. *Plant Cell* 11, 2291-2301 (Dec. 1999).
BF	Kalejta, R.F. et al. An Integral Membrane Green Fluorescent Protein Marker, Us9-GFP, is Quantitatively Retained in Cells during Propidium Iodide-Based Cell Cycle Analysis by Flow Cytometry. *Exp. Cell. Res.* 248, 322-328 (1999).
BG	Kennerdell, J.R. & Carthew, R.W. Use of dsRNA-Mediated Genetic Interference to Demonstrate that frizzled and frizzled 2 Act in the Wingless Pathway. *Cell* 95, 1017-1026 (1998).

Cynthia Welder July 2, 2004

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	BH	Kennerdell, J.R. & Carthew, R.W. Heritable gene silencing in Drosophila using double-stranded RNA. *Nat. Biotechnol.* 896-898 (2000).
	BI	Ketting, R.F. et al. mut-7 of C. elegans, Required for Transposon Silencing and RNA Interference, Is a Homolog of Werner Syndrome Helicase and RNaseD. *Cell* 99, 133-141 (1999).
	BJ	Kramer, E.R. et al. Activation of the human anaphase-promoting complex by proteins of the CDC20/Fizzy family. *Curr. Biol.* 8, 1207-1210 (1998).
	BK	Lam, G. & Thummel, C.S. Inducible expression of double-stranded RNA directs specific genetic interference in Drosophila. *Curr. Biol.* 10, 957-963 (2000).
	BL	Lohmann, J.U. et al. Silencing of Developmental Genes in Hydra. *Dev. Biol.* 214, 211-214 (1999).
	BM	Matsuda, S. et al. Molecular cloning and characterization of a novel human gene (HERNA) which encodes a putative RNA-helicase. *Biochim. Biophys. Acta* 1490, 163-169 (2000).
	BN	Misquitta, L. & Paterson, B.M. Targeted disruption of gene function in Drosophila by RNA interference (RNA-i): A role for nautilus in embryonic somatic muscle formation. *PNAS* 96, 1451-1456 (Feb. 1999).
	BO	Montgomery, M.K. et al. RNA as a target of double-stranded RNA-mediated genetic interference in Caenorhabditis elegans. *PNAS* 95, 15502-15507 (Dec. 1998).
	BP	Montgomery, M.K. & Fire, A. Double-stranded RNA as a mediator in sequence-specific genetic silencing and co-suppression. *Trends Genet.* 14, 255-258 (1998).
	BQ	Mourrain, P. et al. Arabidopsis SGS2 and SGS3 Genes are Required for Posttranscriptional Gene Silencing and Natural Virus Resistance. *Cell* 101, 533-542 (2000).
	BR	Ngo, H. et al. Double-stranded RNA induces mRNA degradation in Trypanosoma brucei. *PNAS* 95, 14687-14692 (Dec. 1998).
	BS	Ratcliff, F. et al. A Similarity Between Viral Defense and Gene Silencing in Plants. *Science* 276, 1558-1560 (1997).
	BT	Sanchez Alvarado, A. & Newmark, P.A. Double-stranded RNA specifically disrupts gene expression during planarian regeneration. *PNAS* 96, 5049-5054 (April 1999).
	BU	Schneider, I. Cell lines derived from late embryonic stages of Drosophila melanogaster. *J. Embryol. Exp. Morpho.* 27, 353-365 (1972).
	BV	Sharp, P.A. RNAi and double-strand RNA. *Genes Dev.* 13, 139-141 (1999).
	BW	Shi, H. et al. Genetic interference in Typanosoma brucei by heritable and inducible double-stranded RNA. *RNA* 6, 1069-1076 (2000).
	BX	Shuttleworth, J. & Colman, A. Antisense oligonucleotide-directed cleavage of mRNA in Xenopus oocytes and eggs. *EMBO J.* 7, 427-434 (1988).

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CW	BY	Sijen, T. & Kooter, J.M. Post-transcriptional gene-silencing: RNAs on the attack or on the defense? *Bioessays* 22, 520-531 (2000).
CW	BZ	Smardon, A. et al. EGO-1 is related to RNA-directed RNA polymerase and functions in germ-line development and RNA interference in C. elegans. *Curr. Biol.* 10, 169-178 (2000).
CW	CA	Smith, N.A. et al. Total silencing by intron-spliced hairpin RNAs. *Nature* 407, 319-320 (2000).
CW	CB	Tabara, H. et al. RNAi in C. elegans: Soaking in the Genome Sequence. *Science* 282, 430-432 (1998).
CW	CC	Tabara, H. et al. The rde-1 Gene, RNA Interference, and Transposon Silencing in C. elegans. *Cell* 99, 123-132 (1999).
CW	CD	Tavernarakis, N. et al. Heritable and inducible genetic interference by double-stranded RNA encoded by transgenes. *Nat. Genet.* 24, 180-183 (2000).
CW	CE	Timmons, L. & Fire, A. Specific interference by ingested dsRNA. *Nature* 395, 854 (1998).
CW	CF	Tuschl, T. et al. Targeted mRNA degradation by double-stranded RNA in vitro. *Genes Dev.* 13, 3191-3197 (1999).
CW	CG	Vaucheret, H. et al. Transgene-induced gene silencing in plants. *Plant J.* 16, 651-659 (1998).
CW	CH	Wassenegger, M. & Pelissier, T. A model for RNA-mediated gene silencing in higher plants. *Plant Mol. Biol.* 37, 349-362 (1998).
CW	CI	Waterhouse, P.M. et al. Virus resistance and gene silencing in plants can be induced by simultaneous expression of sense and antisense RNA. *PNAS* 95, 13959-13964 (Nov. 1998).
CW	CJ	Wianny, F. & Zernicka-Goetz, M. Specific interference with gene function by double-stranded RNA in early mouse development. *Nature Cell Biol.* 2, 70-75 (2000).
CW	CK	Wolf, D.A. & Jackson, P.K. Cell cycle: Oiling the gears of anaphase. *Curr. Biol.* 8, R636-R639 (1998).
CW	CL	Zamore, P.D. et al. RNAi: Double-Stranded RNA Directs the ATP-Dependent Cleavage of mRNA at 21 to 23 Nucleotide Intervals. *Cell* 101, 25-33 (2000).

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